

AL PROTECT								
Employee Name (Last, First, MI)				Performance Period				
Armendariz, Alfredo, J.				From: 11/30/2009 To: 9/30/2010				
Title, Pay Plan, Band, Series				Organization (AA/RA, Ofc, Div, Br)				
Regional Administrator, ES-0340			*	EPA Region 6, Dallas, TX				
Section A.	Performan	ice Plan Appr	oval an	d Midyear Review				
	Please sign and	date the appropriate b	lock below	to certify completion of the eve	nts.			
	<del></del>	ployee .		Supervisor		Approving Official		
Discussion and/or	Signature	Tundo	Signature	7/1.	Signatur	е		
approval of the Performance Plan.	$\mathcal{M}$		100	excessere				
renormance rian.	Date 3/1/9	010 C	Date 5/	11/2010	Date	• .		
Miduman	Yes / No				·			
Midyear progress review and career			-	(Participated in 40 hours of de				
development discussion.		Has new IDP been of Comments Attached		En	ter Date E	stablished:		
				·				
Signature - Employee		Date		Signature - Supervisor		Date		
Section B.	Overall	Performance /	Apprais	al and Approval				
Needs Improvement Effective - Majority Commendable - Comme	one or more CEs are ent - One or more Ces of CEs are rated Efforme-half or more CEs (in the complex Reassigned seed this employee Reassigned seed this employee Recommended ration of CEs (in the complex Reassigned seed this employee Recommended ration of CEs (in the complex Reassigned seed this employee Recommended ration of CEs (in the complex Reassigned seed this employee Recommended ration of CEs (in the complex Reassigned seed this employee Reassigned seed this employee Recommended ration of CEs are rated Effective to the complex Reassigned seed this employee Reassig	Employee Leaving A s performance and	mprovement in no lower the able, Resulten) are rate.  Agency prepared ssment of	Signature  the employee's performance Signature	endable, n n Commen			
III. Approving Official*: I ap *The Administrator, or Inspe					e.			
Name (type or print): Lish P. JACKson	The Admi	nistrator		oignature -	•	DEC 1 3 2010		
<li>IV. Employee: My superviso (measures and standards) and</li>			nce for this	period in relation to my per record.	formance	requirements		
Signature		Date	Ī	Higher Level Review Reque		Comments Attached?		
A				☐ Yes 🗹 No		☐ Yes ☑ No		
Privacy Act Statement: Disclosure of your personnel records system to ensure unique ide your performance rating into the automated re-	entification of your records.				Soci	al Security Number		
EPA Form 3140-32 (9-07)				·				

Section C-1 (Please Typ	Performance Elements/Red	guireme	ents		page 1 of
Employee Name (Last, Firs	t, MI)	Performa	ance Period		
Armendariz, Alfredo, J		From:	11/30/2009	To:	9/30/2010
http://www.epa.gov/ocfo term, results-based envi objective(s) to better def cross-EPA and/or cross- appropriately link to a St management and suppo	an: Link each critical element (CE) to EPA's Strategic Plan (plan/2003sp.pdf (or http://www.epa.gov/ocfopage/regionpl ronmental Goals and seven Cross-Goal Strategies. If a CE in the linkage (e.g., Goal 2. Clean and Safe Water, Object media work (including legal support or administrative, finant rategy rather than to a Goal (e.g., Strategy 4. Human Capit duties, then insert the following statement: This work is a sency's strategic goals and cross-goal strategies.	ans/regiona links to a G tives. 2.1 - 2 cial or inforr tal). If neith	lplans2.htm). The coal, then use its 2.2.) CEs of seni mation managemer Goals nor Stra	relevant or execui ent), may ategies ca	objective(s) or sub tivės who perform y more apture
level), Needs Improveme Outstanding (O, highest	upervisor indicates the level of performance for each CE by ent (NI), Effective (E, the level at which performance require evel of performance. In determining the rating for each CE and II, and at least 60 percent of the rating must	ments are one, the superv	lescribed), <i>Comr</i> visor will assess t	<i>nendable</i> he speci	e (C), or fic
CE 1. Results Driver consistent with the EPA Str	: Achieves organizational and individual goals and objectives ategic Plan and/or office operating plan.	Elei	ment Rating:		
Strategic Plan:	This work is an enabling and support function that su goals and cross-goal strategies.	pports the	outcomes of all	of the A	gency's strategio
the Presidential Manager objectives. Effectively st and/or appropriate busing objectives using effective adjusting priorities. Take Informs higher-level man measurable, high-quality builds the organization bunderstands and approp	term program objectives that: stress achievement of missinent Agenda (PMA), Agency Strategic and Annual Performuctures, organizes and prioritizes work to accomplish the dess/work plans, including management initiatives. Monitors measures, processes and procedures. Considers customs action to modify operating plans when organizational resignment of significant program initiatives, developments, a timely and cost-effective results. Positions the organization developing or improving products or services. Takes calculately applies principles, procedures, requirements, regulated.	pance Plans beliectives se progress to er perspecti- ults and mea nd status. In for future ulated risks tions, and po	and/or other key et forth in the Anroward achieving of ves and feedback asures indicate of Holds self and ot success by ident to accomplish or plicies related to	Governriual Performance Perfor	ment-wide or EPA ormance Plan di organizational oropriate, in action is needed ountable for w opportunities; anal objectives.
financial, material and infor	1en: Acquires, organizes, manages and leverages available hur nation resources to efficiently produce high-quality results which and organizational objectives.		nent Rating:	6.0	
Strategic Plan:	This work is an enabling and support function that su goals and cross-goal strategies. Particular support to and Strategy 2. Innovation and Collaboration	Cross-Goa	Strategy 1. Re	of the A	d Accountability
Assesses current and fution organizational goals and include appropriate justification and the commitment to EPA's missificancial information to sumanagement objectives a nature of work being perfective Sourcing organization and contract applicable, effectively procommitments, including in manages assistance agreemanagement policies and manages Interagency Agropportunities to utilize or becommunicate, consult.	pre resource needs, including developing and implementing pudget realities. As applicable, prepares and implements by sations that consider fiscal constraints, program priorities, at ment). Employs a recruitment strategy that attracts candid sion. Properly executes the operating plan and effectively proof operating, budget and policy decisions. Successfully as reflected by reports from the organization's financial and med by the organization (Inherently Governmental versus and processes to provide the products and services needed notes and supports meeting the Agency's small business/supporting initiatives to meet the goals and objectives of Elements in accordance with established policies and processes to provide the the goals and objectives of Elements in accordance with established policies and processes the products of produce and delivible and as appropriate, conducts reviews to identify in a reas, and as appropriate, conducts reviews to identify in the stable in the stable is a processe to provide the stable is and maintain in areas, and as appropriate, conducts reviews to identify in the stable is a processe to provide the stable is and maintain in areas, and as appropriate, conducts reviews to identify in the stable is a processe to provide the products reviews to identify in the stable is a processe to provide the products reviews to identify in the stable is a processe to produce and the stable is a processe to produce and the stable is a processe to produce and the stable is a product to improve the stable in the stable is a product to improve the stable in the stable	g strategies oudget reque and human of lates with the manages fur achieves conther manages decided veterances, including EPA's long-terior goods are organizations effective a	ests which are tine capital (HC) object required skills, ands. Produces to the management gement systems. Identifies fund ganizational goal anic procurement cowned Busines ensuring compliarm Grants Manapatifies and builds and services, collected.	nning, ba nely, well ctives (sk talent, di imely and and othe Accura- ctions for sization. s and ob- program ses (SDN ance with gement business ect and us- ctiveness	I-defined, and cill/competency versity, and daccurate er resource ately assesses the inclusion in the Effectively uses jectives. As goals and /B). Effectively a EPA grants Plan. Effectively a case for se information, or and efficiency.

business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems.

Assesses and recognizes own strengths and weaknesses; pursues self-development.

Section C-1 (Please Type Inf	ormation) Performance Elements/Requi	irem	ents		page 2 of 3
Employee Name (Last, First, MI)		Perform	ance Period		
Armendariz, Alfredo, J.		From:	11/30/2009	To:	9/30/2010
	Effectively initiates & manages organizational change.	Ele	ement Rating:		
onategie i ian.	This work is an enabling and support function that su strategic goals and cross-goal strategies. Particular s Ecosystems, Objective 4.2 Sustain, Clean Up, and Res that Support Them, and Objective 4.3 Protect, Sustain Habitats and Ecosystems.	support	t to Goal 4. Hea ommunities ar	althy ( ad the	Communities and Ecological Systems
and Government-wide initiative structural and organizational inefficiencies; establishes time performance against those be effective strategies that baland Strategies are creative, flexible translate vision into action. Id internal and external parties in along with conventional approbuilds consensus through focces considered and used to suppose and international policies and external environment. Successinitiatives, including new Gover customer feedback and organ feedback indicates a clear undeven under adversity. Recover aligns organizational objective	on that aligns key national and program goals and priorities res, including the PMA; accounts for stakeholders' needs; inefficiencies; develops and articulates short- and long-tente frames and bench-marks for improved organizational petench-marks; and makes the organization as citizen/customice stakeholder interests with the business of the organization, and innovative and show initiative. Acts as a catalyst for lentifies and analyzes underlying dynamics and interests of problem-solving and conflict resolution; develops creative and show in problem-solving and conflict resolution; develops creative and underlying interests and mutual gain of parties, demonstrends that affect the organizational decision-making; Undertends that affect the organization and shape stakeholders as fully adapts plans, processes and programs in response termment-wide or EPA initiatives or objectives. Using good izational results measures, as appropriate, to effectuate in derstanding of the organizational vision. Deals effectively were quickly from setbacks. Shows a commitment to serve the and practices with public interests.	Identified m strate of formar and or organ areating a insigh blutions onstrate derstand of views judgmen approver with prehe published.	es current and pegies for addres ice and measuresed as possible I that balance claizational change problems and cets and innovation that achieve mes how collaboreds and keeps up is aware of the information and ent, constructive ments in programs sure; remains ic. Ensures that	orojectoring sing sing sing sing sing sing sing s	ed skill gaps, and kill gaps and panization's igns and deploys and continuity. It considers to tes; includes affected acceptable goals; problem solving was ate on local, national, nization's impact on the aging conditions or zes indicators such as formance. Employee stic and persistent,
communicates to advance EPA's Strategic Plan:	s and Communication: Builds alliances and effectively and organization's mission and objectives.  This work is an enabling and support function that supertages goals and cross-goal strategies. Particular s	ports t	ment Rating: the outcomes of to Cross-Goal	of all o	of the Agency's
Part 1 Requirements (describe Articulates program goals and convincing manner, particularly external influences and dynamical and externally, and facilitates of stakeholders; the public; the minternational community). Rour relationships and achieve com appropriate. Shows evidence of trust in all interactions. Persua accomplish goals. Makes clea concise, organized, and convince to the concise of the concise o	Accountability, and Strategy 2. Innovation and Collabo	ration  t 2 (recipiectives PA. Efficultivate ral age ntal orga roache custome a of org s coope arifies in	quired see Set internally and e fectively identified es alliances, strencies, Congress anizations; mino s wherever appers and stakeho panizational perferation from oth information as no ment Rating:	externates and engthes; custority groprial elders, formar ers to eeded	ally in a clear and manages internal and ens support internally omers and roups; and the te, to build strategic gathering feedback as nee. Seeks to build obtain information and writes in a clear,
si	ris work is an enabling and support function that sup trategic goals and cross-goal strategies. Particular st accountability, and Strategy 2. Innovation and Collabo	ipport :	to Cross-Goal	Strate	egy 1. Results and

Section C-1 (Please Type Information) page 3 of 3 Performance Elements/Requirements Employee Name (Last, First, MI) Performance Period From: 11/30/2009 To: 9/30/2010 Armendariz, Alfredo, J. CE 6. Equal Employment Opportunity (EEO): Demonstrates commitment to & support of **Element Rating:** EPA diversity/EEO policies/programs; takes positive action to enhance workforce diversity. This work is an enabling and support function that supports the outcomes of all of the Agency's Strategic Plan: strategic goals and cross-goal strategies. Particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration Part 1 Requirements (described at the Effective performance level) Part 2 (required - - see Section C-2) Provides positive leadership and promotes effective solutions to EEO issues, including initiatives identified in the organization's Diversity Action Plan, Affirmative Employment Plan and Disabilities Employment Plan. Ensures management practices and principles lead to establishment of an organization that values EEO. Applies Merit System principles, assigning work and making employment decisions in areas such as hiring, promotion, training and developmental assignments and awards, without regard to sex, race, color, national origin, religion, age, disability, sexual orientation or prior participation in EEO complaint resolution process. Promptly responds to allegations of discrimination and/or harassment and initiates appropriate action to address such situations. Employee feedback reflects an environment which fosters and promotes respectful, cooperative, and productive working relationships among culturally diverse people.

Part 2 (required - - see Section C-2) Effectively Part 1 Requirements (described at the Effective performance level) communicates EPA's mission, core values and strategic goals to employees and engages them in development of objectives contributing to those goals. Takes into account employee perspectives and encourages them to develop creative and effective ways to successfully accomplish the Agency's mission. Applies and effectively fosters formal and informal performance management practices to align organizational and employee performance plans and to promote workforce quality and results achievement. Motivates employees to achieve high performance by facilitating a workplace that fosters diversity, innovation, initiative, and open and honest communication. Inspires and fosters team commitment, spirit, pnde and trust. Facilitates cooperation and motivates team members to accomplish group goals. Encourages constructive criticism and differences of opinion; anticipates and takes steps to prevent counter-productive escalation of conflicts. Ensures that employees have the tools and training to do their jobs. Coaches and develops employees so that they realize their full potential. Provides constructive feedback to employees concerning individual and group performance including timely appraisals which result in meaningful distinctions in ratings based on actual job performance. Deals effectively with employee relations matters, including resolving instances where employees are underutilized and/or underperforming. Employee feedback reflects an understanding of supervisory and management direction, constructive feedback, developmental opportunities, and recognition received. Behaves in an honest, fair and ethical manner. Shows consistency in words and actions. Models high standards of excellence. Treats others with courtesy. sensitivity and respect. Considers and responds appropriately to the needs and feelings of different people in different situations. Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and the mission of the

EPA Form 3140-32 (9-07)

Section C-2 (Please Type Information) Performance Elements/Requirements										
Employee Name (Last, First, MI)	Performance Period									
Armendariz, Alfredo, J.	From:	11/30/2009	To:	9/30/2010						

Describe below a limited number of critical actions, objectives and/or results that you expect to accomplish during the upcoming evaluation year. For each individual commitment identify: (1) CE #, (2) linkage (e.g., should be derived from, and directly contribute to, Agency strategic planning priorities, as appropriate, and/or other relevant annual performance (GPRA), local human capital (HC) action, EEO, EPA Competitive Sourcing, Individual Competition, SDVB, Post Award Management, business and/or operating plans) and (3) specific expected outcomes and time frames. You should establish commitments at the beginning of the evaluation period and track progress and accomplishments throughout the period. In consultation with your supervisor, you may modify organizational objectives and individual commitments during the evaluation period (but no later than 90 days before the period's end) if circumstances warrant. Attach additional pages as needed. *Individual commitments are required for all CEs*.

Part 2 Individual Commitments (described at the Effecti	e performance level)
---	----------------------

	<u>Part</u>	2 Individual Commitments (described at the Effective performance level)
CE#	Linkage (e.g., Goal/Objective, Annual (GPRA) Plan, HC Plan, SDVB Plan,)	Objective (WHAT e.g., specific accomplishment, product, outcome, deliverable)  Performance Requirement (HOW, WHEN, WHY, WITH WHOM e.g., quality, quantity, timeliness, target date/milestone, cost)
1. Results Driven	Supports all goals and cross-cutting strategies	1. Lead the region to continue achieving strong and quantifiable environmental results (Feb Sept.) 2. Improve the environment and reduce exposures the most in heavily impacted communities, through targeting permitting, enforcement, cleanup, partnership, and outreach efforts (Feb Sept.) 3. Begin the implementation of the new air permitting program for major sources in Texas (June). 4. Contribute to the successful rollout of the national nutrient strategy, including the listing of coastal Louisiana waters as impacted by nutrients. (Feb Aug.)
2. Business Acumen	Supports all goals and cross-cutting strategies, particular support to Cross- Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	1. Monitor ARRA and unliquidated funds draw downs, and work with governors and state agencies to find most effective tools to spend funds (Feb Sept.)  2. Manage the current fiscal tightness in R6, evaluate potential for operating budget savings, and assure that high priority projects receive greatest financial attention (Feb Sept.)  3. Strategically manage any new hires, so that skill sets essential to Administrator's priorities and critical regional needs are added to staff (Feb Sept.)  4. Maintain and enhance R6 boots-on-the-ground enforcement efforts, at a time of fiscal problems by state agencies (Feb Sept.)
3. Leading Change	Supports all goals and cross-cutting strategies, particular support to Objective 4.2 Sustain, Clean Up, and Restore Communities and the Ecological Systems, and Objective 4.3 Protect, Sustain, and Restore the Health of Critical Natural Habitats and Ecosystems.	1. Get Administrator's priorities incorporated into and identified within R6 300-day plan, as well as into a new R6 multi-year strategic plan (Feb March).  2. Develop metrics to evaluate progress on R6 focus on EJ communities (Feb Aug.)  3. Lead efforts to address wetlands loss mitigation and restoration in coastal Louisiana, including meetings with state and federal agency stakeholders. Evaluate progress to date. Determine need for new or innovative programs to accelerate progress. (Feb Sept.)  4. Advance and include in all speeches, presentations, and public appearances, the priorities of Administrator Jackson. (Feb Sept.)  5. Include connections of climate change to all aspects of regional work (esp. air quality, water supply, wetlands loss, emergency response, green jobs) in RA and staff speeches and public presentations. (Feb Sept.)
Communication	Accountability, and Strategy 2.	<ol> <li>Hold regular discussions with each state director on top priorities, ensure that joint work is on track, and resolve obstacles to progress. (Feb Sept.)</li> <li>Identify and attend monthly forums and meetings along the Texas Gulf to communicate to industry the ongoing work to restructure the Texas air permitting programs. (Feb Sept.)</li> <li>Convene a regional stakeholders meeting to discuss EPA communication and information sharing methods, and solicit feedback on needed improvements, to circulate to R6 and OEI staff (July).</li> <li>Visit and understand environmental impacts, community concerns, and progress-to-date on mining related activities and impacted sites in Indian Country and in rural parts of R6. (April).</li> <li>Develop a mechanism to maintain a comprehensive list of stakeholders and interested community members in each of our EJ, superfund, nonattainment, impacted waters, and border outreach communities. (July)</li> </ol>

5. Leading People	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	1. Hold myself and regional management to highest level of integrity and ethical conduct. (Feb Sept.) 2. Indicate RA support for regional "We Care" values program in memorandum to staff (Feb.) 3. Complete divisional and programmatic briefings, along with detailed briefings on major initiatives, to fully understand region's work. (March). 4. Request and then review reports from each division on how upcoming 2010 activities fit into Administrator's priorities. (April)
6. Equal Employment Opportunity	Supports all goals and cross-cutting strategies, particular support to Cross-Goal Strategy 1. Results and Accountability, and Strategy 2. Innovation and Collaboration	1. Ensure that military veterans are actively recruited for open positions by distributing EPA employment materials at all our frequent meetings with regional military installations, and encouraging and tracking innovative means of veterans outreach. (Feb Sept.)  2. Continue regional efforts to recruit a diverse workforce, including memorandum to managers and HR department on high importance of diversity (Feb Sept.)  3. Work with the ELT to assess and regularly communicate demographic data on promotions, hiring, awards, continuing education, and leadership training and travel opportunities. (Feb Sept.)
ability to achieve an		ve little, if any, control, but which might exert significant impact on your performance or erformance, the supervisor will consider factors, which might legitimately and significantly influence your ability ed below.
		Assumptions

EPA Form 3140-32 (9-07)

Section D-1  This performance narrative ma as such, AA/RA (equivalent) of	y serve, if	Performapplicable, as do	rmance	Asses	smen ry award n	t Narrative omination and/or t	e base pay a	djustment recomme	endation. To use
Summary Rating:		2. Pay Adj (%):	T - T - T - T	Bonus (%):					
Employee Name (Last, First, M					Perform	ance Period			
Armendariz, Al	",					Nov. 30, 2009	To:	Sept. 30, 2010	
Title, Pay Plan, Band, Series				<u> </u>		ation (AA/RA, Ofc	, Div, Br)		
Regional Administrato	r. ES- 034	10				EPA Region 6, Da		5	•
Describe your overall per EEO and Business Acumen of even if it relates to more than of provided below, Font: Arial-			accinctly des separate d chieved in te	cribe your action of the ke	complishm n. Discuss y performa	ents for the rating s each specific are nce objectives and	period in a a of perfor d leadershi	Il areas except the mance or accomplis p attributes. (Use o	se related to shment only once, only the space
Results Driven:					(b) (6)				
	1 1								ľ
Leading Change:					(b) (6)				
Building Coalitions and	Commu	inication:		11		(b) (6)			E
-eading People:					(b) (6)				ŀ

Section D-2	Rusir	ness Acumei	Narrative	
This narrative may serve, if applic AA/RA (equivalent) office comple	able, as documentation for a	monetary award nomin	ation and/or base pay adjustment rec	ommendation. To use as such,
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):		
Employee Name (Last, First, MI)			Performance Period	
Armendariz, Al			From: November 30, 2009 To:	September 30, 2010
Title, Pay Plan, Band, Series			Organization (AA/RA, Ofc, Div, Br)	
Regional Administrator, I	ES- 0340		EPA Region 6, Dallas, Texas	; 
Describe your accomplishm management priority areas, e.g., l Government, as applicable. Focu below, Font: Arial-10.)	ents for CE 2, Business numan capital, competitive so s on results achieved in term	s Acumen: Clearly are burcing, contracts/procu s of key performance o	nd succinctly describe your accomplish rement, assistance agreements/IAGs bjectives and leadership attributes. (t	nments for the rating period in , financial management, e- Jse only the space provided
Human Capital -			(b) (6)	
Recovery Act:			(6)	
Managing Resources:			(b) (6)	
				'
				_
-government:		(b	) (6)	
govorniona				
		_		
				,
24 Farm 9440 20 (2.20)				
PA Form 3140-32 (9-09)				
	•			
				•

•							
Section D-3  Equation This EEO narrative may serve, if a such, AA/RA (equivalent) office or	al Employme	nt Opportun	ity and I	Diversit	t <b>y Nar</b> i e pay adjus	rative tment recor	nmendation. To use as
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):					
Employee Name (Last, First, MI)			Performance	Period			
Armendariz, Al			From: Nov.	30, 2009	To:	Sept. 30	, 2010
Title, Pay Plan, Band, Series			Organization	(AA/RA, Ofc,	Div, Br)	1	
Regional Administrator, ES-034	0			A Region 6,		cas	
Describe your accomplishm 1. How have you personally facing EEO/affirmative employment and you should address include: outre initiatives (e.g., telecommuting, Averally resolution of complaints of displaying and proposed to the complaints of the complain	d diversity programs? each and recruitment; en VS. childcare): active pa	2. What successes on ployee development a Inticipation in SEP initia	convince you and retention (e tives: good fail	that you have e.g., training, o th participation	e made a c coaching, n n in the AD	difference i nentoring); R process:	n these areas? Areas quality of work life and full attention to
Outreach and Recruitmen	<u>ıt</u> :		(b) (6)				ŀ
							Ŀ
Support of Diversity Prog	rams:		(b) ( <sup>(</sup>	6)			=
Development and Retention	on:		(b) (€	5)			Ę
PA Form 3140-32 (9-09)							



No. of the last of	, I	Per	rormance Plan	and Ap	prais	al for Sen	or E	xecutives	
Employee Name	(Last, First, Mi)	)			Perform	ance Period			
Armendariz, Alfredo, J.						10/1/2010		To: 9/30/2011	
Title, Pay Plan, f						ntion (AA/RA, Ofc,			,,
	Administrator, E					A Region 6, Dalla	s, lexas		_
Section A.			mance Plan Appr		•				
performance agr would/would not	vement in consu meet the perfor	ullation with ti mance stende	low to certify completion of the executive, discussed the ards. The discussion occurs the executive's file.	aareement v	nth the exc	scutive, and provid	ed exami	ples of behavior that	
			Employee		Super	visor		Approving Official	
	approval or the Performance			Signature		2	Signa	dure	
		<b>Value</b> / /	14/2011	Date	6/21	/,,	Date		
Midyear Progres Career Develope Discussion		☐ ☐ Hes	s previous EDP completed? new EDP been established nments Attached?		d in 40 hou	irs of development Enter Date Es		' '	
Signature - Empl	oyee tracked	Date		Signat	ure - Supe	Nisor 2	Date	0/2/11	
Section B.		Ove	rail Performance	Apprais	sal and	Approval		<del></del>	
Effe Cor	ective - Majorit nmendable - (	y of CEs are r One-half or m	more CEs are rated Needs ated Effective, Results Drive ore CEs are rated Commen e CEs (including Results Dri	en no lower t dable, Resul	han <i>Elfect</i> ts Driven r	ive, none lower than com	mendable	9, none lower than <i>Effective</i>	,
Type of Summ	•	imployee Reas	signed Employee Leaving	Agency [	Other-S	pocify:			
		ised this em	ployee's performance an			mended rating.			
Name and title (to Bob Per		Deputy A	dministrator	Į	Signature	Porces	אנע	. ((/22	
II. Reviewing	Official: The	recommend	ed rating reflects my ass	essment of	the empl				
Name and title (t					Signature			Date	
			rating of record and relate			ns for this emplo	yee.		
Name (type or pr Lisa P.	int): Jackson,	Administ	rator		Signature	2	2	Date 11/22/	//
IV. Employee	: My supervis	or and I hav	re discussed my performation with the discussed my performation of the discussed my performation me of the discussed my performation my perfor	ance for this	period in	n relation to my p	erforma	ance requirements	
Signature	Dard	1	Date /	12		Level Review Req		Comments Attache	d? No
EPA Florer 3140-32		7							



Employee Name (Last, First, MI)				Performance Period				
Armendariz, Alfredo, J.					10/1/201	10	To:	9/30/2011
Title, Pay Plan, Band, Series				Organization (AA/RA, Ofc, Div, Br)				
Regional Administrator, Es	5-0340			EF	PA Region (	6, Dallas, Texa	s	
Section A.	Performar	nce Plan Appro	oval and	d Midy	ear Rev	<b>view</b>		
Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervise performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The effort of the agreement, and the original is placed in the executive's file.								navior that
	<del></del>	ployee		Super	visor		Appro	oving Official
Consultation/discussion and approval or the Performance Plan					2		nature	
	Oate / /14/	20110	Date (	6/2/	1,,	Date	e	
Midyear Progress Review and Career Development Discussion		ious EDP completed? EDP been established? s Attached?		t d in 40 hou		opment activiti Date Establish	•	
Signature - Employee	) Date		Signat	ure - Supe	rvisor	Da	te C/2	lu
Section B.		Performance A	Apprais	al and	Appro	val		
Needs Improvem Effective - Majority Commendable - Control Dutstanding - One Type of Summary Rating:	One or more CEs and ent - One or more of CEs are rated Endember of CEs are rated Endembed or more CEs	re rated Unsatisfactory CEs are rated Needs In Effective, Results Driver Es are rated Commend (including Results Driver	mprovement n no lower the able, Resul en) are rate	han Effecti ts Driven r	ive, none lo	wer than Effection	ole, none lov	ver than <i>Effective</i>
	mployee Reassigned	Employee Leaving		Other - S		<u> </u>		
Supervisor: I have apprain Name and title (type or print):	sed this employed	e's performance and		a recomr Signature	mended ra	iting.	Date	
Bob Perciasepe, I	Deputy Admi	nistrator	· Į	Signature	Perc	iacu		2
II. Reviewing Official: The	recommended rat	ting reflects my asse	ssment of	the empl				
Name and title (type or print):				Signature			Date	
III. Approving Official*: 1 a *The Administrator, or Inspe					ns for this	employee.		
Name (type or print): Lisa P. Jackson, A				Signature		2	Date	11/22/11
<ul><li>IV. Employee: My supervise (measures and standards) an</li></ul>	or and I have disc d my supervisor h	cussed my performan has informed me of r	nce for this ny rating o	period in f record.	relation t	o my perform	ance requ	irements
Signature		Date		Higher	Level Revie	ew Requested?	, \( \int \( \cdot \)	Yes No
EPA Form 3140-32 (9-10)								



## U.S. Environmental Protection Agency

Segre		2000	The second secon	R. al. K. V. V. C. C. C. C.				
Employee Name (Last, First, M	))		Performance Period	4				
Armendariz, Affredo, J.			From: 10/1/2010	To:	9/30/2011			
Title, Pay Plan, Band, Series Regional Administrator, E	S-0340		Organization (AA/RA, Ofc, Div. Br) EPA Region 6, Dellas, Texas					
Section A.	Performance	Plan Approva	I and Midyear Review	w				
performance agreement in cons	oriate block below to certify ultation with the executive mance standards. The ci-	y completion of the ev , discussed the egree soussion occurs of the	ents. The signatures below cert ment with the executive, and pro a beginning of the performance n	iy that the supervi	behavior that			
	5 mplayer	e	Supervisor		poroving Official			
Consulation/discussion and approval or the Performance Plan	Stratury ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) ( ) (	las	mature 22	Signature				
Midyear Prograss Review and Cancer Development Discussion	Yes/No	DP completed? (Parties on established?		ent activities) Established:				
Signature Employee	6/3/2	al _	Signature - Surpervisor	Date	/2/11			
Section B.	Overall Per	formance App	ratsal and Approval	•	,			
Needs improvem Effective - Majority Commendable - 0	of CEs are raied <i>Effective</i> One-half or more CEs are r	re raled <i>Needs Impro</i> e, Resulls Driven no k rated <i>Commendable</i> ,	vernent, none are Unsatisfactory ower then Effective, none lower t Results Driven no tower than Co recated Cotstanding, none lower	han Effective minendable, none				
Type of Bunmary Rating:	mployee Ressigned [] E	mployee Leaving Agenc	y . Other - Specify:					
l. Supervisor: I have apprais	sed this employee's per	formance and prep	pared a recommended rating.					
Name and title (type or print):	· · · · · · · · · · · · · · · · · · ·		Signature	D	ale			
II. Reviewing Official: The r	ecommended rating rel	flects my assessme	ant of the employee's perform	ance.				
Name and tille (type or print):			Signature	D	ale .			
III. Approving Official": Lap				loyee.				
viame (type or print):			Signature	T D	ais			
V. Employee: My superviso measures and standards) and	r and I have discussed my supervisor has into	my performance formed me of my rad	or this period in relation to my	performance re	quitements			
Signature	Date		Higher Level Review Re	equested?	Comments Attached?			
	1		Yes	No	_ Yes ∟ No			

Section C-1 (Please Type Information)

Performance Elements/Requirements

Employee Name (Last, First, MI)

Performance Period

Link to the Strategic Plan: Link each Critical Element (CE) to EPA's current Strategic Plan (or Regional Plan)

<a href="http://www.epa.gov/ocfo/plan/plan.htm">http://www.epa.gov/ocfo/plan/plan.htm</a>. The Plan contains five strategic, results-based environmental goals to guide the Agency's work and five cross-cutting fundamental strategies which set clear expectations for changing the way EPA does business in achieving its results. If a CE links to a goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., Goal 2, Protecting America's Waters, Objective 2.1, Protect Human Health). CEs of senior executives who perform cross-EPA and/or cross-media work (including legal support or administrative, financial or information management), may more appropriately link to a strategy rather than to a goal (e.g., Strategy 2, Working for Environmental Justice and Children's Health) or one of the associated annual action plans. If neither goals nor strategies capture management and support duties, then insert the following statement: This work is an enabling and support function that supports the outcomes of all of the Agency's strategic goals and cross-cutting fundamental strategies.

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance. In determining the rating for <u>each</u> CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating <u>must</u> be based on outcomes/results achieved in Part II.

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.

Element Rating:

10/1/2010

9/30/2011

就即是随着探探。

e company time

CONTRACTOR I

Strategic Plan:

Armendariz, Alfredo, J.

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.

Part 1 Requirements (described at the Effective performance level)

Part 2 (required - - see Section C-2)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.

Element Rating:

Strategic Plan:

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.

Part 1 Requirements (described at the Effective performance level)

Part 2 (required - - see Section C-2)

Assesses current and future resource needs, including developing and implementing strategies for workforce and succession planning. based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, welldefined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, retention, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization (Inherently Governmental, core, or critical). Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's small business/socioeconomic procurement program goals and commitments, including implementing a strategy for contracting with Service-Disabled Veteran-Owned Businesses (SDVB). Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

EPA Form 3140-32 (9-10)							
Section C-1 (Please		Performance Eler	nents/Require	me	ents		page 3 of 3
Employee Name (Last,	First, MI)		Perf	forma	ance Period		
Armendariz, Alfred	o, J.		From	m:	10/1/2010	То:	9/30/2011
		inity (EEO); Demonstrates co action to enhance workforce diver		Ele	ment Rating	100	
Strategic Plan:		l element is linked to all 5 of 11-2015 Strategic Plan, esp s.					ental strategies in the
Provides positive lead Action Plan, Affirmative stablishment of an oareas such as hiring, religion, age, disabilit discrimination and/or	dership and promot we Employment Pla rganization that val promotion, training wy, sexual orientation harassment and ini	fective performance level) es effective solutions to EE in and Disabilities Employm lues EEO. Applies Merit Sy and developmental assignr n or prior participation in EE itiates appropriate action to cooperative, and productive	O issues, including initial ent Plan. Ensures man stem principles, assigning ments and awards, with O complaint resolution address such situations	ative age ing v out i proc s. E	ment practic vork and ma regard to sex sess. Promp mployee fee	n the org es and p king emp k, race, o tly respo dback re	ganization's Diversity orinciples lead to bloyment decisions in color, national origin, ands to allegations of effects an environment

EPA Form 3140-32 (9-10)

5.Leading	linked to all 5 goals	l 1.	Hold myself and regional management to highest level of integrity and ethical conduct.
People	and all 5 cross-		(Oct Sept.)
	cutting fundamental	2.	Continue to support "We Care" values program, by including tag line in all-hands memos
The second secon	strategies		and in emails to staff (Oct Sept.)
*** *** *** *** *** **** **** **** **** ****		3.	Speak at the next classes of the leadership development program (LDP). (early 2011)
સાંભુક પ્રદેશ કેલાક સ્ટિક્સ કરોલા કરોડા કરોડા સાંભુક પ્રદેશ કરોડા		4.	Build relationship with employee union by meeting with them multiple times per year. (quarterly beginning Jan 2011).
nesses de la companya	,		
wing the master was some			
6.Equal	linked to all 5 goals	1.	Ensure that military veterans are actively recruited for any open positions with R6.
Employment	and all 5 cross-		Engage leadership team on innovative means of veterans outreach. (Oct Sept.)
Opportunity	cutting fundamental		Continue regional efforts to recruit a diverse workforce, including memorandum to
	strategies		managers and HR department on high importance of diversity (Jan 2011)
		3.	Work with the leadership team to assess and regularly communicate demographic data
			on promotions, hiring, awards, continuing education, and leadership training and travel opportunities. (Oct Sept.)
			opportunities. (Oct Sept.)
4.5 .0			
	1 1		
ability to achieve an	rs over which you ha objective. In assessing p or not they are document	performance	if any, control, but which might exert significant impact on your performance or be, the supervisor will consider factors, which might legitimately and significantly influence your abili
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your ability
ability to achieve an	objective. In assessing p	performance	if any, control, but which might exert significant impact on your performance or se, the supervisor will consider factors, which might legitimately and significantly influence your abilit  Assumptions
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your ability
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your ability
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your ability
ability to achieve an	objective. In assessing p	performance	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit
ability to achieve an	objective. In assessing p	performand	ce, the supervisor will consider factors, which might legitimately and significantly influence your abilit

Section D-1							
This performance narrative may	Performa serve. if applicable, as docum	INCE ASSESSI	men award	t Narrati	VE /or base pav	adiustment reco	mmendation. To
This performance narrative may use as such, AA/RA (equivalent	t) office completes the four num	bered boxes below.					
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):					
Employee Name (Last, First, MI	)		Perform	mance Period			
Armendariz, Al	,		From:	Oct. 1, 2010	To:	Sept. 30, 2011	1
Title, Pay Plan, Band, Series			Organi	ization (AA/RA,	Ofc, Div, Br)		
Regional Administrator ES-034	40			EPA Region 6,	Dallas, Texas	:	
Describe your overall perform	nance: Clearly and succinctly d		hments	for the rating pe	eriod in all ar	eas except thos	
and Business Acumen efforts even if it relates to more than or							
rating above Effective, Self-asse Self assessments must provide	essments should reflect how the	e employee went well a	bove ar	nd beyond the p	erformance o	bjectives set for	the rating period.
performance of the organization						THE COMMISSION O	orango ano oronan
Results Driven:			(b) (6)				
							_
							_
Leading Change:							
							_
<b>Building Coalitions and</b>	Communication:			(b) (6)			
Leading People:		(b) (t	6)				
Leading People.							

1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):					
Employee Name (Last, First, MI)			Perform	nance Period			_
Armendariz, Al			From:	Oct. 1, 2010	To:	Sept. 30, 2011	
Title, Pay Plan, Band, Series			Organi	zation (AA/RA, Of	c, Div, E	r)	
Regional Administrator, ES	3-0340		E	PA Region 6, Dal	las, Texa		
Describe your accomplishments priority areas, e.g., human capital, capplicable. Focus on results achieve assessments should reflect how the provide thorough discussion of accorganization. (Use only the space	competitive sourcing, contract red in terms of key performant e employee went well above omplishments and describe	cts/procurement, assis nce objectives and lead and beyond the perfol how the employee's ad	tance ag dership a mance o complish	reements/IAGs, fin attributes. For consobjectives set for the aments contributed	iancial m ideration e rating p	anagement, e-Governmer of a rating above Effective period. Self assessments in	nt, as e, Se must
Human Capital –		( <del>b</del> ) (	6)				
						_	
							۰
Managing Resources -			(b) (6	)			÷
							8
							E
							Г
e-Government -			(b) (6)				
- Overmient -							
							L
Project Management -		(b) (6)					

Section D-3  Equa This EEO narrative may serve, if appl such, AA/RA (equivalent) office comp	Employmen icable, as documentatio letes the four numbered	t Opportunity n for a monetary award i boxes below.	y and Diversity nomination and/or base pa	Narrative y adjustment reco	emmendation. To use as
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):			
			Derfermens Deried		
Employee Name (Last, First, MI)  Armendariz, AI			Performance Period From: Oct. 1, 2010	To: Sep	ot. 30, 2011
Title, Pay Plan, Band, Series			Organization (AA/RA, Ofc	, Div, Br)	
Regional Administrator, ES-034			EPA Region 6, Dall		
Describe your accomplishments fo 1. How have you personally facilitate EEO/affirmative employment and dishould address include: outreach and (e.g., telecommuting, AWS, childcare) of complaints of discrimination, as appabove and beyond the performance of how the employee's accomplishments both questions, Font: Arial-10.)	ted, empowered, and/o iversity programs? 2. I recruitment; employee b; active participation in blicable. For consideration bjectives set for the ration	or directed efforts that What successes convinuated development and retenting SEP initiatives; good fait on of a rating above Effert ag period. Self assessments	have contributed to the in nce you that you have ma on (e.g., training, coaching h participation in the ADR p ctive, Self-assessments sh ents must provide thorough	mplementation of ade a difference i, mentoring); qual process; and full a mould reflect how to discussion of acc	if your organization's in these areas? Areas you lity of work life initiatives attention to early resolution he employee went well complishments and describe
			•		,
Outreach and Recruitment:			(b) (6)		
Support of Diversity Program	ns:		(b) (6)		
•					
Development and Retention:			(b) (6)		
Quality of Work Life:			(b) (6)		



United States Environmental Protection Agency Washington, DC 20460

# Performance Plan and Appraisal for Senior Executives

### Instructions

Use Sections: A (Performance Plan Approval and Midyear Review), B (Overall Performance Appraisal and Approval), C (Performance Elements/Requirements), D (Performance Assessment (and other applicable) Narrative(s)), and E (Senior Executive Individual Development Plan) of this form for all employees who are covered by the Senior Executive Service Performance Appraisal and Recognition System (SES-PARS).

Section C contains six standard Critical Elements (CEs), each with *Effective* performance level requirements, which must be used for all members of the SES: career, limited term, limited emergency, and non-career appointees, and those Presidential Appointees who elect to retain SES provisions. These six CEs and their associated Part 1 requirements are fixed and may not be changed. In Part 2 of the CEs, the senior executive describes individual commitments (a limited number of critical actions, objectives and outcomes/results) that he or she will be expected to accomplish during the upcoming evaluation year.

### Performance Plans

- · Must be established with full consultation by October 30, or within 30 calendar days of appointment or position change.
- Must include the six fixed CEs and performance requirements in Section C-1 and link each CE to EPA's Strategic Plan (or Regional Plan)
- Must include a limited number of individual commitments and outcomes/results expected in Part II for <u>all</u> CEs in Section C-2. Individual commitments must include measures and dates, even if "ongoing" or due at the end of the Fiscal Year.

### **Executive Development Plans**

- Must be established within 30 calendar days of appointment or other position change.
- Are established usually at Midyear Progress Review and cover one full year (e.g., May 1 through April 30).

### Performance Appraisal

- Each Senior Executive must provide a written description of his/her own overall performance, with the vast majority of the narrative focusing on the outcomes/results achieved, in Sections D-1, Performance Assessment Narrative, D-2, Business Acumen Narrative, and D-3, Equal Employment Opportunity and Diversity Narrative.
- In determining the rating for <u>each</u> CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating must be based on outcomes/results achieved in Part II.
- Supervisors must provide written comments ("Supervisor's Notes") in Section C-3 for each CE with a rating of Unsatisfactory, Needs Improvement, or Outstanding

### **Definition of Summary Rating Levels**

- *Unsatisfactory*. The senior executive consistently fails to meet the established performance requirements in one or more Critical Elements of the executive's position.
- Needs Improvement: The senior executive exhibits significant performance-related problem(s) (e.g., limited ability in producing work
  of acceptable volume and/or quality within established time frames; limited sense of personal responsibility or accountability in work
  assignments) although performance has not reached Unsatisfactory in any CE.
- Effective: Results achieved reflect normally high performance that can be reasonably expected of any senior executive.
- Commendable: Results achieved clearly exceed what could be reasonably expected and the senior executive exemplifies or models those practices and approaches that represent the SES ideal.
- Outstanding: Reserved for the senior executive who demonstrates the highest degree of achievement in a manner that both distinguishes him/her from the rest of the SES corps and materially advances the EPA mission.

Do Not Remove This Cover Sheet Until the Entire Form is Placed in the Employee Performance File in the Servicing Personnel Office.

### **Privacy Act Statement**

The maintenance of this information is governed by Privacy Act system of records OPM/GOVT-2. The authority for the maintenance of this system is 5 U.S.C. 1104, 3321, 4305, and 5405, and Executive Order 12107. This information is required. Not providing this information may hinder the Agency's ability to process personnel actions concerning you. This information is used to define the critical elements and performance requirements (performance standards and performance measures) directly related to your job. It will be used to document your mid-year review, any other reviews, and your end of year rating. The information also may be used in connection with selection for and publication of cash and honor awards; other personnel actions based on performance such as training and development decisions; the hiring or retention of an individual or the issuance of other benefits; relevant judicial or administrative proceedings; law enforcement purposes; personnel research or survey purposes; and negotiated grievance procedures. Disclosure also may be made to the MSPB, the EEOC, and other Federal agencies for purposes authorized by law; to a Congressional office at your request; and to officials of labor organizations when relevant and necessary to their duties as exclusive representatives of Federal employees. This is a summary of the routine uses for these records. For a full description of this system notice, including routine uses, see 65 FR 24737 (Apr. 27, 2000).

### **Security Provisions**

Personnel information entered on this form such as performance narratives, ratings on individual critical elements, and the overall performance appraisal, is protected by the Privacy Act. Protected records maintained in office files, on floppy disks, or in any other manner must be secured in accordance with the safeguards specified for performance records.



TATAL PROTECTIO	Torrormanios Francisco Comor Excodinos											
Employee Name (Last,	First, MI)				Perform	ance Perio	d					
Armendariz, Alfredo	J.	_			From:	Oct. 1, 2	2011		То:	Sept. 3:0	, 2012	
Title, Pay Plan, Band, S	eries				Organization (AA/RA, Ofc, Div, Br)							
Regional Adminis	Regional Administrator, ES-0340 EPA Region 6, Dallas, Texas											
Section A.			ce Plan Appro									
Please sign and date the appropriate block below to certify completion of the events. The signatures below certify that the supervisor has developed the performance agreement in consultation with the executive, discussed the agreement with the executive, and provided examples of behavior that would/would not meet the performance standards. The discussion occurs at the beginning of the performance rating period. The executive is given a copy the agreement, and the original is placed in the executive's file.							nt	ı of				
		Employee			Supe	rvisor			Appr	oving Offic	cial	
Consultation/discussion and		Signature		Signature			Signa			フ	,	
approval or the Performa Plan	ance								3	<u> </u>	<u></u>	
		Date		Date <	11/4	22/1	/	-Date	1/2	2/1	· !/	
Midyear Progress Revie Career Development Discussion	ew and		ous EDP completed? ( DP been established? Attached?	•	in 40 hou		opment a Date Est	•		(		
Signature - Employee	e - Employee Date Signat		Signatu	ire - Supe	ervisor		Date					
Section B.		Overall	Performance .	Apprais	al and	Appro	oval	1				
Summary Perform	ance R	ating:										
Unsatisfa	ctory - C	one or more CEs are	e rated Unsatisfactory	,								
Needs Im	proveme	ent - One or more (	CEs are rated Needs I	Improvement	t, none ar	e <i>Unsatisfa</i>	actory					
Effective :	- - Maiority	of CEs are rated Ef	fective, Results Driver	n no lower th	an <i>Effect</i>	tive, none la	ower than	Effective	e			
			s are rated Commend			•				wer than F	 	
			including Results Driv	·					,	voi trair z	coure	
Type of Summary Ra	ating:											
End of Annual Cycle	☐ En	nployee Reassigned	Employee Leaving	Agency	Other - S	Specify:		•				
I. Supervisor: I have	e apprais	sed this employee	's performance and	d prepared	a recom	mended r	ating.					
Name and title (type or p	orint):			8	Signature				Date	<del>;</del>		
II. Reviewing Officia	d: The r	ecommended rati	ng reflects my asse	essment of	the emp	loyee's pe	erformano	ce.				
Name and title (type or p	print):			5	Signature Date							
III. Approving Officia	•		of record and relate	•		ons for this	s employ	ee.				
Name (type or print):				8	Signature		112401		Date	;		
IV. Employee: My s (measures and standa	uperviso ards) and	r and I have disci	ussed my performat as informed me of r	nce for this my rating or	period i f record.	n relation	to my pe	rforma	nce requ	irements	;	$\dashv$
Signature	<del></del>	-	Date	Ī		Level Rev				omments /		$\exists$
						Yes	☐ No	)		Yes	☐ No	2
EPA Form 3140-32 (9-11)												╗

# Section C-1 (Please Type Information) Performance Elements/Requirements Employee Name (Last, First, MI) Armendariz, Alfredo J. Performance Period From: 10/1/2011 To: 9/30/2012 Link to the Strategic Plan: Link each Critical Element (CE) to EPA's current Strategic Plan (or Regional Plan) http://www.epa.gov/ocfo/plan/plan.htm. The Plan contains five strategic, results-based environmental goals to guide the Agency's work and five cross-cutting fundamental strategies which set clear expectations for changing the way EPA does business in achieving its results. If a CE links to a goal, then use its relevant objective(s) or sub-objective(s) to better define the linkage (e.g., Goal 2, Protecting America's Waters, Objective 2.1, Protect Human Health). CEs of senior executives who perform cross-EPA and/or cross-media work (including legal

Element Rating: The supervisor indicates the level of performance for each CE by marking *Unsatisfactory* (U, the lowest performance level), *Needs Improvement* (NI), *Effective* (E, the level at which performance requirements are described), *Commendable* (C), or *Outstanding* (O, highest level of performance. In determining the rating for <u>each</u> CE, the supervisor will assess the specific outcomes/results achieved in Parts I and II, and at least 60 percent of the rating <u>must</u> be based on outcomes/results achieved in Part II.

support or administrative, financial or information management), may more appropriately link to a strategy rather than to a goal (e.g., Strategy 2, Working for Environmental Justice and Children's Health) or one of the associated annual action plans. If neither goals nor strategies capture management and support duties, then insert the following statement: This work is an enabling and support function that

CE 1. Results Driven: Achieves organizational and individual goals and objectives consistent with the EPA Strategic Plan and/or office operating plan.

supports the outcomes of all of the Agency's strategic goals and cross-cutting fundamental strategies.

Element Rating:

Strategic Plan:

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.

Part 1 Requirements (described at the Effective performance level)

Part 2 (required - - see Section C-2)

Sets long-term and short-term program objectives that: stress achievement of mission results, are realistic and measurable, and respond to the Agency Strategic and Annual Performance Plans and/or other key Government-wide or EPA objectives. Effectively structures, organizes and prioritizes work to accomplish the objectives set forth in the Annual Performance Plan and/or appropriate business/work plans, including management initiatives. Monitors progress toward achieving goals and organizational objectives using effective measures, processes and procedures. Considers customer perspectives and feedback, as appropriate, in adjusting priorities. Takes action to modify operating plans when organizational results and measures indicate corrective action is needed. Informs higher-level management of significant program initiatives, developments, and status. Holds self and others accountable for measurable, high-quality, timely and cost-effective results. Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives. Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

CE 2. Business Acumen: Acquires, organizes, manages and leverages available human, financial, material and information resources to efficiently produce high-quality results which accomplish strategic goals and organizational objectives.

Element Rating:

Strategic Plan:

This critical element is linked to all 5 of the goals and all 5 of the cross-cutting fundamental strategies in the EPA FY 2011-2015 Strategic Plan.

Part 1 Requirements (described at the Effective performance level)

Part 2 (required - - see Section C-2)

Assesses current and future resource needs, including developing and implementing strategies for workforce and succession planning, based on organizational goals and budget realities. As applicable, prepares and implements budget requests which are timely, well-defined, and include appropriate justifications that consider fiscal constraints, program priorities, and human capital (HC) objectives (skill/competency needs, retention, employee development). Employs a recruitment strategy that attracts candidates with the required skills, talent, diversity, and commitment to EPA's mission. Properly executes the operating plan and effectively manages funds. Produces timely and accurate financial information to support operating, budget and policy decisions. Successfully achieves cost management and other resource management objectives as reflected by reports from the organization's financial and other management systems. Accurately assesses the nature of work being performed by the organization. Effectively uses procurement and contractual processes to provide the products and services needed to meet organizational goals and objectives. As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories. Effectively manages assistance agreements to promote accountability and environmental results, including ensuring compliance with EPA grants management policies and supporting initiatives to meet the goals and objectives of EPA's long-term Grants Management Plan. Effectively manages Interagency Agreements in accordance with established policies and procedures. Identifies and builds business case for opportunities to utilize or better utilize e-Government technology to produce and deliver goods and services, collect and use information, or communicate, consult, collaborate, or partner with stakeholders, in order to improve organizational/program effectiveness and efficiency. Ensures access to and the security of technology systems. Establishes and maintains effective and efficient management controls in administrative and program areas, and as appropriate, conducts reviews to identify material and other weaknesses. Corrects weaknesses in a timely manner. On a regular basis, reviews and analyzes performance measures, consults and collaborates across EPA and with stakeholders and customers, as appropriate, and takes decisive action, in accordance with law, regulation and Agency policy to improve business processes. Takes action to address employee performance problems. As applicable, promotes integrity in the Labor Relations process and works towards fostering an atmosphere of respect and professionalism. Depending on the Agency's assessment of appropriateness and the parties' willingness, uses collaborative or compliance approaches to help address conflicts and solve problems. Assesses and recognizes own strengths and weaknesses; pursues self-development.

Section C-1 (Please Type In	formation)					page 2 of
Coulon C . (t loads 1)ps iii	Performance Elements/Red	quire	eme	ents		
Employee Name (Last, First, MI)	)	Pe	rforma	ance Period		
Armendari	z, Alfredo J.	Fro	m:	10/1/2011	To:	9/30/2012
CE 3. Leading Change:	Effectively initiates & manages organizational change.		Ele	ment Rating	:	
Strategic Plan:	This critical element is linked to all 5 of the goals and a EPA FY 2011-2015 Strategic Plan.	all 5 of	the c	ross-cutting f	unda	amental strategies in the
Implements organization visicand Government-wide initiation organizational inefficiencies; establishes time frames and those bench-marks; and make balance stakeholder interests and innovative and show initiand analyzes underlying dynsolving and conflict resolution generates and evaluates with underlying interests and muttenvironmental and organizations that affect the organizations that affect the organizations organizational results measulunderstanding of the organizational results measulunderstanding organizational results measulunderstan	ibed at the Effective performance level) on that aligns key national and program goals and prior ves, accounts for stakeholders' needs; Identifies currer develops and articulates short- and long-term strategies bench-marks for improved organizational performance test the organization as citizen/customer focused as possible with the business of the organization and that balance in the business of the organization and that balance in the business of the organization and conflicts; including and interests creating problems and conflicts; including and interests creating problems and conflicts; including alternative solutions that achieve mutually account gain of parties, demonstrates how collaborative proformation and shape stakeholders' views; is aware of the organization and shape stakeholders' views; is aware of the organizatives or objectives. Using good judgment, constructives, as appropriate, to effectuate improvements in progrational vision. Deals effectively with pressure; remains	rities want and person and massible echanguences cludes blem sate on a ganiza and clerely utiligram person potimis	ith Agorojed direst easured be appeared by the affect of t	cted skill gaps sing skill gaps res organizat gns and deplor d continuity. rs to translate ted internal a along with co- ls; builds cor- g was conside national, and impact on the ng conditions ndicators such nance. Emplored	s, and s,	Strategic Plans and EPA and structural and inefficiencies; is performance against effective strategies that attegies are creative, flexible sion into action. Identifies external parties in problemational approaches, is us through focus on a and used to support ternational policies and external environment. Initiatives, including new is customer feedback and in feedback indicates a clear en under adversity.
Recovers quickly from setbac objectives and practices with	cks. Shows a commitment to serve the public. Ensures public interests.		ctions	meet public	need	
CE 4. Building Coalition communicates to advance EPA's a	s and Communication: Builds alliances and effectively nd organization's mission and objectives.		Ele	ment Rating	:	
Strategic Plan:	This critical element is linked to all 5 of the goals and a EPA FY 2011-2015 Strategic Plan.	all 5 of	the cr	oss-cutting for	unda	amental strategies in the
Articulates program goals and convincing manner, particular external influences and dynar and externally, and facilitates stakeholders; the public; the underserved, or underrepressed collaborative approaches who and listens to customers and especially in the area of organgive and take; gains cooperative.	bed at the Effective performance level) d objectives; promotes and supports EPA initiatives an rly when representing or speaking for the organization mics that impact the organization's work. As appropriat open exchange of opinion from diverse groups (e.g., F media; state, local, and tribal governments; non-goverr ented communities; and the international community). I erever appropriate, to build strategic relationships and stakeholders, gathering feedback as appropriate. Sho nizational performance. Seeks to build trust in all intera- tion from others to obtain information and accomplish of formation as needed. Writes in a clear, concise, organi-	d objection EPA ce, cultified ender a december a decemb	ctives LEffe Vates Lager Lorga Ly co Le com Lence Pers Makes	ectively identi- alliances, stancies; Congre- anizations; mansiders and of amon goals. It of giving fee auades others a clear and co	d extended e	dernally in a clear and and manages internal and pthens support internally customers and ity groups; overburdened, ctively employs ctively communicates with the due consideration, uilds consensus through noing oral presentations.
CE 5. Leading People: Edevelopment & satisfaction in acco	ffectively leads & manages employees to enhance their performa emplishing EPA/organization's goals & objectives.	nce,	Elei	ment Rating	:	
	This critical element is linked to all 5 of the goals and a EPA FY 2011-2015 Strategic Plan.	ill 5 of t	he cr	oss-cutting for	unda	amental strategies in the
communicates EPA's mission those goals. Implements recibiring goals, and successful the perspectives and encourages effectively fosters formal and promote workforce quality and first line supervisors. Motivate initiative, and open and hone motivates team members to a steps to prevent counter-produced and develops employees so the group performance including effectively with employee related Employee feedback reflects a copportunities, and recognition high standards of excellence feelings of different people in	bed at the Effective performance level)  n, core values and strategic goals to employees and enruitment, retention, and developmental strategies that stransition of highly qualified employees into and within its them to develop creative and effective ways to success informal performance management practices to align of different strains of the strai	gages support edera ssfully a organizature de ng a wo ent, spi ism an have the re feed s in rate bloyees ction, co ner. Shoonside	them t orga I serve accor- ational dicate orkpla rit, pred differ to differ back ings I s are constrows ors and	nizational perice. Takes in mplish the Agal and employed to leaders ide and trust. erences of opols and training to employees pased on active feedbaconsistency in diresponds a	ent of reformation actions to action actions to action act	of objectives contributing to mance objectives, agency occount employee by's mission. Applies and performance plans and to development and growth of development and growth of development and takes of do their jobs. Coaches incerning individual and ob performance. Deals dor underperforming, developmental ords and actions. Models opriately to the needs and

Section C-1 (Please Type Information)  Performance Elements/Requ	ire	me	nts		page 3 of 3
Employee Name (Last, First, MI)		forma	nce Period		
Armendariz, Alfredo J.	From: 10/1/2011			То:	9/30/2012
CE 6. Equal Employment Opportunity (EEO), Civil Rights and Diversity: Demonstrates commitment to and support of EPA EEO/Civil Rights/Diversity policies, programs, and initiatives; takes proactive steps to promote EEO and enhance workplace diversity.		Eler	nent Rating	:	
Strategic Plan:  This critical element is linked to all 5 of the goals and all 5 EPA FY 2011-2015 Strategic Plan.	of t	he cr	oss-cutting f	undam	ental strategies in the
Part 1 Requirements (described at the Effective performance level)  Employee is personally engaged in the development and success of Agency Civil Right including action items identified in the Agency's Management Directive 715 Report. Progrelationships between all employees including diverse individuals and teams in support applicable equal employment opportunity laws, regulations, policies, and Executive Ord workplace conflict and enhance management-employee communication. When conflict resolution efforts, including alternative dispute resolution, EEO Counseling activities, at Systems Principles as appropriate, promptly responds to allegations of discrimination and address such situations. Engages in proactive efforts to promote diversity and inclusion	its, E omore t of t ders t arise and/o	EO, tes re EPA's . Eng ses, p EO ir or har	spectful, cod mission. Er ages in proa articipates a nvestigations assment, an	prography peratives ctive e ctively and h d initia	ams and/or initiatives, ve, and productive compliance with fforts to minimize in EEO processes and earings. Applies Merit

EPA Form 3140-32 (9-11)

Section C-2 (Please Type Information)  Performance Elements/Requiremen	uireme	nts			
Employee Name (Last, First, MI)  Performance Period					
Armendariz, Alfredo J.	From:	10/1/2011	То:	9/30/2012	

Describe below a limited number of critical actions, objectives and/or results that you expect to accomplish during the upcoming evaluation year: For each individual commitment identify: (1) CE #, (2) linkage (e.g., should be derived from, and directly contribute to, Agency strategic planning priorities, as appropriate, and/or other relevant annual performance goals or strategies, local human capital (HC) action, EEO, EPA competitive sourcing plans, SDVB, Post Award Management, business and/or operating plans), (3) specific expected outcomes and accomplishments, and (4) performance requirements or metrics (e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone). You should establish commitments at the beginning of the evaluation period and track progress and accomplishments throughout the period. In consultation with your supervisor, you may modify organizational objectives and individual commitments during the evaluation period (but no later than 90 days before the period's end) if circumstances warrant. Attach additional pages as needed. Individual commitments are required for all CEs and there should be at least two (2) individual commitments for CE 1, Results Driven.

	Part :	Individual Commitments (described at the Effective performance level)
CE#	Linkage (e.g., Goal/Objective, Annual Plan, HC Plan, SDVB Plan,)	Objective (WHAT e.g., specific accomplishment, product, outcome, deliverable)  Performance Requirement (HOW, WHEN, WHY, WITH WHOM e.g., quality, quantity, timeliness, cost effectiveness, and target date/milestone)
1. Results Driven	linked to all 5 goals and all 5 cross- cutting fundamental strategies	<ol> <li>CAA Regional Haze: Finalize action on regional haze FIPs for Oklahoma in Dec. 2011, propose FIP for Arkansas in early 2012, and propose partial FIP for significant fraction of Texas sources by Aug. 1, 2012. Work with 6XA on media outreach and intergovernmenta communication efforts.</li> <li>CWA NPDES and TMDL: Facilitate with HQ and other stakeholders the on-going work by R6 water division to implement NPDES WET limits in TX and OK, and to develop the TMDL for the Illinois River watershed in AR and OK (all year).</li> <li>Texas CAA Flex Permits: Ensure that applications for SIP-approved permits submitted by 90% of flexible permit holders, and for 1/3 of 30 largest applications have reviews completed by R6 air team and comments submitted by Sept. 1, 2012.</li> <li>EPCRA and CAA 112(r): Kick-off the regional upset emissions initiative for the largest 20 emitters by Jan 2012, and get 50% reduction commitments by majority by June 1, 2012.</li> <li>CAA PSD and Climate: Take action to resolve air permit irregularities for coal EGUs in Texas by Jan 2012.</li> <li>CERCLA: Identify and establish a long-term funding solution for remaining BIA liability at Tar Creek NPL site (Sept. 2012)</li> <li>CAA Title V: Implement first step of actions to resolve largest 3 deficiencies with TCEQ Title V issued permits (minor IBR, state/fed labeling, major IBR) by February 2012.</li> </ol>
2. Business Acumen	linked to all 5 goals and all 5 cross- cutting fundamental strategies	<ol> <li>Evaluate and implement potential to save significant funds through space consolidation of regional office by Sept. 30, 2012.</li> <li>Get updates from divisions on efforts to continue to reduce ULO balances in SRF and other major funds across the board in all states (entire year).</li> <li>Get updates from divisions on efforts to continue to reduce ULO balance reduction in Border program (entire year).</li> <li>Continue discussions with HQ OA and OCFO on regional resources allocations, and send supplemental information forward on Superfund program and NPM disparities in WSA allocations to regions (by Jan 30, 2012)</li> <li>Work with ARA and regional leadership to recruit and hire an outstanding new regional comptroller (by spring 2012).</li> <li>Lead quarterly meetings w/ ARA and divisional leadership to review FTE utilization (all year)</li> </ol>
3. Leading Change	linked to all 5 goals and all 5 cross- cutting fundamental strategies	<ol> <li>Successfully recruit and hire new DRA and open SES position (by late 2011/early 2012).</li> <li>Initiate new efforts to address wetlands loss mitigation and restoration in coastal Louisiana, including meetings with state and federal agency stakeholders. Evaluate progress to date. Determine need for new or innovative programs to accelerate progress. (Oct Sept.)</li> <li>Craft a new R6 multi-year strategic plan (by Sept 30, 2012).</li> <li>Get all regional leadership and staff to highlight scientific connections of climate change in all aspects of regional work (esp. air quality, water supply, wetlands loss, sea level/emergency response, green jobs) in speeches and public presentations. (all year)</li> <li>Meet with Farm Bureaus and ag commissioners of all five states (by March 2012).</li> <li>Meet monthly with new e-records development and implementation team, and troubleshoot as necessary to get VOIP telephonic system implemented in 2012. (all year).</li> </ol>
10 m 10 m 12 m		,

4.Building Coalitions and Communication s	linked to all 5 goals and all 5 cross- cutting fundamental strategies	1. 2. 3. 4.	Visit with editorial boards of major newspapers in Houston, Austin, New Orleans, Tulsa, and Albuquerque (by Sept 2012).  Participate and lead two RTOC meetings with Tribal leaders in FY2012, and consult with Navajo about New Mexico air quality actions (consultation: Oct/Nov 2011; RTOC: Fall 2011, Summer 2012).  Meet with leadership of Chesapeake, Devon, and XTO to build bridges to natural gas producers and discuss their place in transition to a lower carbon economy (April 2012). Continue use of social media to communicate R6 actions and core values of science, rule of law, and transparency to new generation of environmentalists. (Oct Sept.)
5.Leading People	linked to all 5 goals and all 5 cross- cutting fundamental strategies	1. 2. 3. 4.	Hold myself and regional management to highest level of integrity and ethical conduct. (Oct Sept.)  Speak at the next classes of the leadership development program (LDP) (Nov 2011). Continue build relationships with employee union leadership by meeting with them as needed, including on timekeeping pilot program (first meeting December 2011). Strengthen involvement in security and workplace safety efforts, to include new bi-annual briefings for me and leadership team on workplace safety incidents, and evaluations of new smart-card entry systems. (Dec 2011).
6.Equal Employment Opportunity, Civil Rights, and Diversity	linked to all 5 goals and all 5 cross- cutting fundamental strategies	1. 2. 3. 4.	Ensure that military veterans are recruited and considered for open positions in R6. Match or increase number of veterans hired in coming year compared to a successful FY11 (all year) Implement new RA involvement in regional recruitment, hiring, and promotion efforts (Nov 2011) Work with the leadership team to assess and regularly communicate demographic data on promotions, hiring, awards (Oct Sept.) Meet with each of the SEPMs during the year to hear issues of concern and resolve problems (all year).
			, control, but which might exert significant impact on your performance or ability to achieve an consider factors, which might legitimately and significantly influence your ability to perform, whether
or not they are docu		C. 7.007 WIII	Solicios acidio, milos migric legismatory and organicality initiative your ability to perform, whether
			Assumptions

EPA Form 3140-32 (9-11)

Performance Elements/Requirements							
Employee Name (Last, First, MI)	Performance Period						
Armendariz, Alfredo J.	From:	10/1/2011	To:	9/30/2012			
The supervisor must provide written highlights for each critical element rated Unsatisfactory, Needs Improvement or Outstanding.							
Supervisor's Notes							
1. Results Driven							
2. Business Acumen							
3. Leading Change							
5. Leading Change							
	٠						
4. Building Coalitions and Communication							
5. Leading People		·					
				·			
6. Equal Employment Opportunity (EEO)	<del></del>						
6. Equal Employment Opportunity (EEO)							
		•					
Supervisor Signature:							

Section D-1  Performance Assessment Narrative  This performance narrative may serve, if applicable, as documentation for a monetary award nomination and/or base pay adjustment recommendation. To						
use as such, AA/RA (equivalent)						-
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):				4
Employee Name (Last, First, MI)			Performance Pe		0/2012	$\dashv$
Armendariz, Alfredo J.			From: 10/1/20		0/2012	ᅫ
Title, Pay Plan, Band, Series			Organization (A	A/RA, Ofc, Div, Br)		
Describe your overall performa and Business Acumen efforts weven if it relates to more than one rating above Effective, Self-asses Self assessments must provide the performance of the organization.	which each require separate do CE. Focus on results achieved sments should reflect how the election of accomplise.	locumentation. Disc in terms of the key p employee went well a shments and describe	ss each specific erformance obje- love and beyond how the employ	c area of performance or ctives and leadership att d the performance object yee's accomplishments c	accomplishment only once, ributes. For consideration of lives set for the rating period.	а
						- 1
	,					
						l
						-
•						
,						-
						-
					•	
*						
,					,	
PA Form 3140-32 (9-11)						

Section D-2		_						
This		ess Acume						
AA/RA (equivalent) office compl	licable, as documentation for a metes the four numbered boxes be	nonetary award nomit elow.	nation and	d/or base pay adju	istment recomi	mendation. To use	as such,	
1. Summary Rating:	2. Pay Adj (%):	3. Bonus (%):						
Employee Name (Last, First, N	NI)		Perform	ance Period				
Armendariz, Alfredo J.			From: C	Oct. 1, 2011	To: Se	pt. 20, 2012		
Title, Pay Plan, Band, Series			Organiz	ation (AA/RA, Of	fc. Div. Br)			
				, ,	. , .		ļ	
Describe your accomplishments for CE 2, Business Acumen: Clearly and succinctly describe your accomplishments for the rating period in management priority areas, e.g., human capital, competitive sourcing, contracts/procurement, assistance agreements/IAGs, financial management, e-Government, as applicable. Focus on results achieved in terms of key performance objectives and leadership attributes. For consideration of a rating above Effective, Self-assessments should reflect how the employee went well above and beyond the performance objectives set for the rating period. Self assessments must provide thorough discussion of accomplishments and describe how the employee's accomplishments contributed towards the overall performance of the organization. (Use only the space provided below to answer both questions, Font: Arial-10.)								
•					•			
EPA Form 3140-32 (9-11)								

.

This EEO narrative may serve, if	ual Employment	for a monetary award	/ and Diversity	/ Narrative by adjustment recommendation. To use as
such, AA/RA (equivalent) office of the summary Rating:	2. Pay Adj (%):	3. Bonus (%):		
Employee Name (Last, First, MI)		10. 20.000 (10)	Performance Period	
Armendariz, Alfredo J.			From: Oct. 1, 2011	To: Sept. 20, 2012
Title, Pay Plan, Band, Series			Organization (AA/RA, Of	c, Div, Br)
EEO/affirmative employment a should address include: outreach (e.g., telecommuting, AWS, child of complaints of discrimination, a above and beyond the performan	cilitated, empowered, and/or and diversity programs? 2. We and recruitment; employee delcare); active participation in SI as applicable. For consideration ace objectives set for the ratingments contributed towards the	directed efforts that /hat successes convi- evelopment and retenti EP initiatives; good fait n of a rating above Effe period. Self assessme	have contributed to the ince you that you have money (e.g., training, coaching a participation in the ADR ctive, Self-assessments stents must provide thorough	mplementation of your organization's ade a difference in these areas? Areas you, mentoring); quality of work life initiatives process; and full attention to early resolution to reflect how the employee went well a discussion of accomplishments and describy the space provided below to answer
•				
•				
-				

EPA Form 3140-32 (9-11)		

•

.

.

•

Section E		Executiv	e De	evelopr	nent Pla	n			
Employee Name (Last, First, MI)					Performance	e Period			
Armendariz, Al				From:	10/1/11	To:	9/30/12		
Long Term Goal:	Goal: accountability Te			Long Term Goal:	Improve decision making and personal accountability				
Career Goals & Development Objectives			Specific Development Activities						
		Goals/Objectives			Activ	itv		Time Frame	
		(b) (6)			(b) (6)	,		FY12	
					(b) (6)			FY12	
			İ						
								`	
				-					
		Employee		Supe	rvisor		Арр	proving Official	
Discussion and/or approval of the Executive		Signature	Sign	ature		Signa	ture		
Development Plan.		Date	Date	1/2	Date 1/22		2/1/		